

**IN THE UNITED STATES DISTRICT COURT
FOR THE SOUTHERN DISTRICT OF NEW YORK**

Paul Andrus and Ronald Berresford,
individually and as representatives of a
class of similarly situated persons, and on
behalf of the New York Life Agents
Progress-Sharing Investment Plan and the
New York Life Insurance Company
Employee Progress-Sharing Investment
Plan,

Plaintiffs,

v.

New York Life Insurance Company, New
York Life Investment Management LLC,
New York Life Investment Management
Holdings LLC, Cornerstone Capital
Management Holdings LLC, Cornerstone
Capital Management LLC, Board of
Trustees of the New York Life Agents
Progress-Sharing Investment Plan, Board
of Trustees of the New York Life Insurance
Company Employee Progress-Sharing
Plan, Maria J. Mauceri, Barry A Schub,
John Y. Kim, Arthur H. Seter, Drew E.
Lawton, Michael M. Oleske, Robert J.
Hynes, and Johns Does 1–30,

Defendants.

Case No. 1:16-cv-05698-KPF

**NOTICE OF PLAINTIFFS' MOTION
FOR PRELIMINARY APPROVAL OF
CLASS ACTION SETTLEMENT**

Please take notice that, upon the accompanying Memorandum of Law, the Declarations of Kai Richter, Paul Andrus, and Ronald Berresford (and the exhibits to those Declarations), and all files records and proceedings in this matter, Plaintiffs will move this Court, before the Honorable Katherine Polk Failla, at the United States Courthouse located at 40 Foley Square, pursuant to Federal Rule of Civil Procedure 23, for an order (1) preliminarily approving the parties' Class Action Settlement Agreement

(which is attached as Exhibit 1 to the Declaration of Kai Richter); (2) approving the proposed Settlement Notices and authorizing distribution of the Notices; (3) certifying the proposed Settlement Class; (4) designating Plaintiffs as Class Representatives; (5) designating Plaintiffs' counsel as Class Counsel; and (6) scheduling a final approval hearing. A proposed Preliminary Approval Order is being submitted in connection with this motion and is also attached as an exhibit to the Settlement Agreement. **This motion is not opposed by Defendants as parties to the Settlement Agreement.**

Dated: February 14, 2017

NICHOLS KASTER, PLLP

/s/ Kai H. Richter

Michelle R. Fisher, NY Bar Code #MF4600

Kai H. Richter, MN Bar No. 0296545*

Carl F. Engstrom, MN Bar No. 0396298*

Brandon T. McDonough, MN Bar No. 0393259*

4600 IDS Center, 80 S. 8th Street

Minneapolis, MN 55402

Tel: 612-256-3200

Fax: 612-338-4878

fisher@nka.com

krichter@nka.com

cengstrom@nka.com

bmcDonough@nka.com

*admitted *pro hac vice*

Attorneys for Plaintiffs